



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

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#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/44/937	11/22/99	NASHA-SMITH	K 66997.0102

BAKER AND BOTTS LLP  
THE WARNER  
ONE SHELL PLAZA  
910 LOUISIANA  
HOUSTON TX 77002



NOT ASSIGNED

2771

DATE MAILED:

12/27/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of **\$65.00** for a small entity in compliance with 37 CFR 1.27, or **\$130.00** for a non-small entity, must also be timely submitted in reply to this **NOTICE** to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ small-entity (statement filed) ☐ non-small entity is \$ 499-.

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 580- to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 54- for 6 total claims over 20.  
\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.  
\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

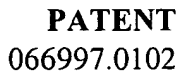
☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

03/08/2000 NPRASHD 00000127 09444937  
380.00 OP  
65.00 OP  
54.00 OP  
01 FC:201  
02 FC:205  
03 FC:203



Pursuant to 37 C.F.R. § 1.8, I hereby certify that I have information and a reasonable basis for belief that this paper will be deposited as first-class mail with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on February 28, 2000.

Signature

Date \_\_\_\_\_

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Maida-Smith, et al.

Application Serial No.: 09/444,937

Filed: November 22, 1999

Invention: Network Security Data Management System and Method

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Group Art Unit: 2771

Examiner: Not Yet Assigned

Assistant Commissioner for Patents  
Box Missing Parts  
Washington, D.C. 20231

## COMPLETION OF FILING REQUIREMENTS —NONPROVISIONAL APPLICATION

This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed December 27, 1999. A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) is enclosed.

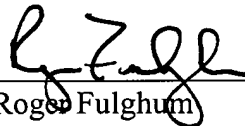
The two-month anniversary of the mailing of the Notice to File Missing Parts of Application fell on a Sunday (February 27, 2000). Please note that this response is timely in that it

was filed on the first business day following the two-month anniversary of the mailing of the Notice to File Missing Parts of Application.

No declaration or oath was filed. Enclosed is an original declaration for this application.

Enclosed is a check in the amount of \$499.00 for payment of the basic filing fee, an additional claims fee, and a surcharge for the late payment of the filing fee and late filing of the declaration. In the event that any other fees are required, please charge the undersigned's deposit account number 02-0383.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Roger Fulghum", is written over a horizontal line.

Roger Fulghum  
Registration No. 39,678

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Attorney Docket No.: 066997.0102

Date: February 28, 2000